

SEP 07 2001

Technology Center 2100

§ Examiner: Unknown

§
§ Group Art Unit: 2161

§
§ Atty Docket: 5226-01700/EBM

§ Atty Docket: 5226-01700/EBM

§

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail, postage prepaid, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on the date below.

8/31/01 BTB
Date Brit Baker

Sir:

Please find enclosed:

- 1) Election Under 37 C.F.R. §§ 3.71 and 3.73 AND Power of Attorney (2 pages);
- 2) Verified Statement (Declaration) Claiming Small Entity Status (37 CFR 1.9(F) and 1.27(C)) – Small Business Concern (2 pages);
- 3) A return postcard evidencing receipt of these materials.

If any fees are inadvertently omitted or if any additional fees are required or have been overpaid, please appropriately charge or credit those fees to Conley, Rose & Tayon, P.C. Deposit Account Number 50-1505/5226-01700/EBM.

Shayne Young
09/885,865

Respectfully submitted,



Mark R. DeLuca
Reg. No. 44,649

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CONLEY, ROSE & TAYON, P.C.
P.O. BOX 398

AUSTIN, TX 78767-0398

(512) 703-1254 (voice)

(512) 703-1250 (facsimile)

Date:

8/31/01



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE RECEIVED

In re Application of:

Shayne Young

Serial No.: Unknown

Filed: June 15, 2001

For: METHODS AND SYSTEMS FOR
RECONCILING A FORWARD
CONVERSION SECURITIES
STRATEGY

§ Examiner: Unknown SEP 07 2001
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§ Group Art Unit: Unknown Technology Center 2100
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§ Atty. Docket No. 5226-01700/EBM
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CERTIFICATE OF MAILING
37 C.F.R. § 1.8

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Commissioner for Patents, Washington, D.C. 20231, on the date
below:

08/31/00

Date

BT B

Brit Baker

ELECTION UNDER 37 C.F.R. §§ 3.71 and 3.73
AND POWER OF ATTORNEY

Commissioner for Patents
Washington, D.C. 20231

Sir:

The undersigned, being Assignee of record of the entire interest in the above-identified application by virtue of an assignment recorded in the United States Patent and Trademark Office as set forth below, hereby elects, under 37 C.F.R. § 3.71, to prosecute the application to the exclusion of the inventors.

The Assignee hereby revokes any previous Powers of Attorney and appoints:

Dan R. Christen
Gentry E. Crook
Kevin L. Daffer
Mark R. DeLuca
Jeffrey C. Hood

Reg. No. 39,943
Reg. No. 44,633
Reg. No. 34,146
Reg. No. 44,649
Reg. No. 35,198

Robert C. Jahnke	Reg. No. 44,800
B. Noël Kivlin	Reg. No. 33,929
Robert C. Kowert	Reg. No. 39,255
Lawrence J. Merkel	Reg. No. 41,191
Eric B. Meyertons	Reg. No. 34,876
Louise K. Miller	Reg. No. 36,609
Theresa A. Moorman	Reg. No. 46,941
David W. Quimby	Reg. No. 39,338
Rory D. Rankin	Reg. No. 47,884
David A. Rose	Reg. No. 26,223
Diane S. Schaffer	Reg. No. 47,291
Doug M. Shamah	Reg. No. 45,093

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each an attorney or agent of the firm of CONLEY, ROSE & TAYON, P.C., as its attorney or agent for so long as they remain with such firm, with full power of substitution and revocation, to prosecute the application, to make alterations and amendments therein, to transact all business in the Patent and Trademark Office in connection therewith, and to receive any Letters Patent, and for one year after issuance of such Letters Patent to file any request for a certificate of correction that may be deemed appropriate.

Pursuant to 37 C.F.R. § 3.73, the undersigned has reviewed the evidentiary documents, specifically the Assignment to ProTrader Technologies, L.P., referenced below, and certify that to the best of my knowledge and belief, title remains in the name of the Assignee.

Please direct all communications as follows:

Eric B. Meyertons, Esq.
CONLEY, ROSE & TAYON, P.C.
P.O. BOX 398
AUSTIN, TEXAS 78767-0398
(512) 476-1400 (voice)
(512) 703-1250 (facsimile)

ASSIGNEE:

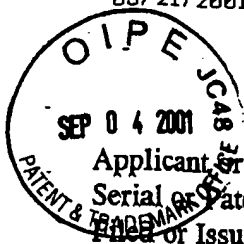
PROTRADER TECHNOLOGIES, L.P.

By: 

Name: Vince Mouer

Title: General Counsel

Date: June 20, 2001



PATENT

Applicant or Patentee: Shayne Young

Attorney's

Serial or Patent No.: _____

Docket No.: 5226-01700/EBMFiled or Issued: June 15, 2001For: METHODS AND SYSTEMS FOR RECONCILING A FORWARD CONVERSION
SECURITIES STRATEGY

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(F) AND 1.27(C)) - SMALL BUSINESS CONCERN**

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I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: ProTrader Technologies, L.P.

ADDRESS OF CONCERN: 504 Lavaca, Suite 1000
Austin, Texas 78701

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35 United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled "METHODS AND SYSTEMS FOR RECONCILING A FORWARD CONVERSION SECURITIES STRATEGY" by inventor(s) described in

- ☒ the specification filed herewith
☐ application serial no.: _____, filed _____
☐ patent no.: _____, issued _____

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

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FULL NAME: _____

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ADDRESS: _____

☒ Individual ☐ Small Business Concern ☐ Nonprofit Organization Technology Center 2100

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Vince Mouer

TITLE OF PERSON OTHER THAN OWNER: General Counsel and Secretary

ADDRESS OF PERSON SIGNING: 504 Lavaca, Suite 1000, Houston, Texas 78701

SIGNATURE: _____

DATE: _____

6/20/01